



01/14/821

**Statement Claiming Small Entity Status
(37 C.F.R. §§ 1.9(d) and 1.27(c)) -- Small Business Concern**

Applicant, Patentee or Identifier: (1) David G. Kessler; and (2) Michael F. White

Appl. or Patent No.: 09/769,758 Attorney Docket No. 1980.0110001

Filed or Issued: January 26, 2001

Title: Health Care Payment and Compliance System

I hereby state that I am

the owner of the small business concern identified below:
 an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Sterling Medical Services, LLC

ADDRESS OF SMALL BUSINESS CONCERN 2 Twosome Drive

Moorestown, New Jersey 08057

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

the specification filed herewith with title as listed above.
 the application identified above.
 the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements indicating their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention (other than the small business concern named above) is listed below:

no such person, concern, or organization exists.
 each person, concern, or organization is listed below.

NAME _____

ADDRESS _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING David G. Kessler

TITLE OF PERSON IF OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING Sterling Medical Services, LLC, 2 Twosome Drive, Moorestown, New Jersey 08057

SIGNATURE President DATE 5/2/01



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/769,758	01/26/2001	David G. Kessler	1980.0110001

CONFIRMATION NO. 7409

26111
STERNE, KESSLER, GOLDSTEIN & FOX PLLC
1100 NEW YORK AVENUE, N.W., SUITE 600
WASHINGTON, DC 20005-3934

FORMALITIES LETTER



OC000000005841878

MAR 12 2001

DA
RES
3/12 Date Mailed: 03/08/2001
3/13 M

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

MPT

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$144.
 - \$144 for 8 total claims over 20.
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration ~~surcharge~~ as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 984.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*Filing fee, Ex. claims, Decl, Add'l fees May 8, 2001 DOCKETED
Stat Bar (07.16.1 8,700)
Drawings May 8, 2001 DOCKETED*



STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W. • WASHINGTON, D.C. 20005-3934

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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

May 8, 2001

WRITER'S DIRECT NUMBER:
(202) 371-2677
INTERNET ADDRESS:
RSOKOHL@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box Missing Parts

Re: U.S. Utility Patent Application
Appl. No. 09/769,758; Filed: January 26, 2001
For: **Health Care Payment and Compliance System**
Inventors: David G. Kessler *et al.*
Our Ref: 1980.0110001

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated March 8, 2001, Applicants submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
2. Copy of the Notice to File Missing Parts;
3. Original Declaration, executed by the inventors;
4. An original executed Power of Attorney from Assignee;
5. Certificate Under 37 C.F.R. § 3.73(b) with copy of Assignment attached;
6. Small Entity Status Form;
7. Request to Approve Proposed Drawings Corrections;

Commissioner for Patents
May 8, 2001
Page 2

8. Ten (10) sheets of drawings with proposed margin corrections;
9. One (1) return postcard; and
10. Our Check No. 31226 for \$492.00 to cover:
 \$355.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)
 \$ 72.00 Fee for excess claims (37 C.F.R. § 1.16)
 \$ 65.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16)

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl
Attorney for Applicants
Registration No. 36,013

RES/MPT:asl
Enclosures

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 492.00)

Complete if Known

Application Number	09/769,758
Filing Date	January 26, 2001
First Named Inventor	David G. KESSLER
Examiner Name	To Be Assigned
Group Art Unit	2166
Attorney Docket No.	1980.0110001

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number

19-0036

Deposit Account Name

Sterne, Kessler, Goldstein & Fox, P.L.P.

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

Applicant claims small entity status
See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					355.00

2. EXTRA CLAIM FEES

Extra	Fee from below	Fee Paid
Total Claims 28 - 20** = 8	X 9.00	= 72.00
Indep. Claims 3 - 3** = 0	X 40.00	= 0.00
Multiple Dependent		= 0.00

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)				72.00

** or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES
Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify):					
Other fee (specify):					

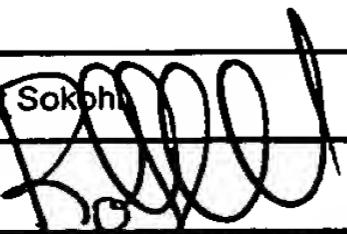
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

65.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert Sokol	Registration No. (Attorney/Agent)	36,013	Telephone	202-371-2600
Signature				Date	5/8/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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4.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Kessler *et al.*

Appl. No. 09/769,758

Filed: January 26, 2001

For: **Health Care Payment and
Compliance System**

Confirmation No.

Art Unit: 2166

Examiner: To be assigned

Atty. Docket: 1980.0110001

Request to Approve Proposed Drawing Corrections

Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached are copies of Ten (10) sheets of corrected drawings, containing proposed **margin** corrections to Figures 1A, 1B, 1C, 2-4, 5A, 5B, 5C, 5D, 5E, and 6-10. The proposed changes add no new matter to this application. Applicants request that the Examiner approve the proposed corrections. After official communication of such approval, Applicants will make the appropriate corrections to the formal drawings.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl
Attorney for Applicants
Registration No. 36,013

Date: 5/3/01
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requestforcorrecteddrawings